ATTORNEY DOCKET NO. 200314542-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

1	ntor	/_\.
HIVE		13/.

Michael F. Angelo et al.

Confirmation No.:

Application No.: Unassigned

Examiner: Unassigned

Filing Date:

Herewith

Group Art Unit:

Title:

Method and Apparatus for Initializing Multiple Security Modules

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

(X)	under 37 CFR 1.97(b), or (Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
()	under 37 CFR 1.97(c) together with either a: () Statement under 37 CFR 1.97(e), or () a \$180.00 fee under 37 CFR 1.17(p), or (After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
()	under 37 CFR 1.97 (d) together with a: () Statement under 37 CFR 1.97(e)(1) or (2), and () a \$180.00 fee set forth in 37 CFR 1.17(p). (Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00 . At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

() A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EL990792000US

Date of Deposit 01/26/2004

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Alexandria, VA 22313-1450

Typed Name: Maria Galloway

Respectfully submitted,

Michael F. Angelo et al.

Michael G. Fletcher, Esq.

Attorney/Agent for Applicant(s)

Reg. No. **32,777**

Date: 01/26/2004

Telephone No.: (281) 970-4545

							Sheet 1	of 8			
F	ORM	PTO-1449		-	ATTY. DOCKET NO. 200314542-1	AF	PPLICATION NO.	CONFIRMATI	ON NO		
					APPLICANT	_		<u>. L </u>	_		
	APPLIC				Michael F. Angelo		ROUP				
	DOCUMENT PUBLICATION DATE				Herewith	G	KOUP				
REFERE	NCE	DESIGNATION	U.S. F	PATEN	T DOCUMENTS						
EXAMINE INITIAL				NAME	Re		s, Lines Where or Figures Appe	ar			
	1A	6,647,415	11/11/2003	OI	arig et al.						
	1B	6,633,978	10/14/2003	Ar	igelo et al.						
	1C	6,625,730	09/23/2003	Ar	igelo et al.						
-	1D	6,625,729	09/23/2003	Ar	ngelo et al.			•	<u> </u>		
	1E	6,609,204	08/19/2003	OI	arig et al.						
	1F	6,581,162	06/17/2003	Ar	ngelo et al.			_	_		
 ·	1G	6,567,901	05/20/2003	Ne	eufeld						
*	1H	6,505,268	01/07/2003	Sc	hultz et al.				<u> </u>		
	11	6,502,203B2	12/31/2002	Ba	rron et al.						
	1J	6,477,648B1	11/15/2002	Sc	hell et al.						
	1K	6,470,443B1	10/22/2002	En	ner et al.						
•••			PUBLICATION	Т	N PATENT DOCUMI NAME OF PATENTEE OR APPLICANT	Pag	ges/Columns/Lin ant Passages/Fig		Check i Translation		
	1L	EP0851335B1	10/29/2003	Ange	lo et al.						
	1M	EP0674273B1	05/24/2000	Bryg	et al.						
	1N	EP0674273A1	09/27/1995	Bryg	et al.						
	10										
	1P										
	·	OTHER REFI	ERENCES (includ	ding A	uthor, Title, Date, P	Pertinen	t Pages, etc.))			
	10	Angelo et al., Serial No. 09/	"Method and App 540,697, filed Ma	aratus rch 31	to Provide Enhanced , 2000	Comput	er Protection,"	Application			
	11	R Angelo et al., Serial No. 09/9	Angelo et al., "Method and Apparatus for Providing Enhanced Computer Security," Application Serial No. 09/540,812, filed March 31, 2000								
	1:	S Angelo et al., filed March 31	"Comupter Syster , 2000	m Havi	ng Security Features,	" Applica	ation Serial No	. 09/540,811,	—		
					DATE CONSIDER		·				
EXAM	IINER				DATE CONSIDER	תבט					

Sheet 2 of 8

F	ORM F	TO-1449			ATTY. DOCKET NO.	APPLICATION NO. CONFIRMAT	ION NO		
Ц	ST OF	PATENTS AND PL	JBLICATIONS FOR		200314542-1 APPLICANT				
		ANT'S INFORMATION	ON DISCLOSURE		Michael F. Angelo et al.				
	a	Ise several sheets i			FILING DATE	GROUP	_		
					Herewith				
REFERE	NCE	DESIGNATION	U.S. PA	ATENT	DOCUMENTS				
EXAMINE		DOCUMENT NUMBER	PUBLICATION DATE		NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appe	ear		
	2A	6,467,048B1	10/15/2002	Ola	rig et al.				
	2B	6,463,495B1	10/08/2002	Ang	jelo et al.				
	2C	6,460,121B1	10/01/2002	Bor	nola				
	2D	6,442,631B1	08/27/2002	Neu	ıfeld et al.				
	2E	6,418,533B2	07/09/2002	Ang	gelo et al.				
2F 6,401,208B2		6,401,208B2	06/04/2002	Dav	is et al.				
2G 6,400,823B1			06/04/2002	Ang	gelo		_		
-	 - -	6,370,649B1	04/09/2002	Ang	gelo et al.				
	1-1	6,363,449B1	03/26/2002	Sid	e et al.				
	+	6,330,674B1	12/11/2001 And						
	2K 6,311,273B1		10/30/2001	Helbig Sr. et al.		- 12	_		
	1	DOCUMENT	FOI PUBLICATION		PATENT DOCUME	Pages/Columns/Lines Where	Check if		
	<u> </u>	DOCUMENT NUMBER	DATE		OR APPLICANT Relevant Passages/Figures Appear				
	2L								
	2M								
	2N								
	20								
	2P						<u> </u>		
		OTHER REF	ERENCES (includi	ng Au	thor, Title, Date, Po	ertinent Pages, etc.)			
	20	Neufeld, E. Da Envrionment,"	avid, "Method and A Application Serial	Appara No. 09	tus for Preserving the 9/967,268, filed Sept	Integrity of Management Subsysteember 28, 2001	em		
	2F	Neufeld, et al. Security Subs September 28	ystem for a Process	earatus sor-Bas	for Generating a Strosed Device," Applicat	ong Random Number for Use in a ion Serial No. 09/966,890, filed			
	25	Brown et al., Replacement i	"Method and Appar n a Security Subsy:	ratus fo stem,"	or Preserving a Strong Application Serial No	g Random Number Across Battery . 10/037,511, filed January 4, 200	2		
———EXAM	L IINER				DATE CONSIDER	ED			
					i				

Sheet 3 of 8

F	ORM	PTO-1449			ATTY, DOCKET NO. 200314542-1	APPLICATION I	NO. CONFIRMA	TION NO		
11	ST O	F PATENTS AND P	JBLICATIONS FOR		200314542-1 APPLICANT					
		ANT'S INFORMATI	ON DISCLOSURE		Michael F. Angelo et al.					
	((Jse several sheets	if necessary)		FILING DATE Herewith	GROUP				
REFERE	NCE	DESIGNATION	U.S. P	ATEN	T DOCUMENTS					
EXAMINE INITIAL					NAME		mns, Lines Wher les or Figures Ap			
	зА	6,308,265B1	10/23/2001	Mil	ler					
	3B	6,298,411B1	10/02/2001	Gia	calone					
	3C	6,288,843B1	09/11/2001	An	gelo et al.					
	3D	6,263,431B1	07/17/2001	Lov	velace					
	ŞЕ	6,199,167B1	06/06/2001	Hei	nrich et al.					
	3F	6,182,892B1	02/06/2001	An	gelo et al.		· · · · · ·			
	3G	6,167,538	12/26/2000	Ne	ufeld et al.					
	+	6,134,591	10/17/2000	Nic	kles					
	31	6,131,174	10/10/2000	Fis	cher et al.					
	3J	6,125,446	09/26/2000	Ola	urig et al.					
		6,119,228	09/12/2000		Angelo et al.					
	-									
			FOI	REIGN	PATENT DOCUMI	ENTS				
		DOCUMENT NUMBER	PUBLICATION DATE	N	AME OF PATENTEE OR APPLICANT	Pages/Columns/ Relevant Passages/		Check in Translation		
	3L									
	ЗМ									
	3N									
	30									
	3P						· ·			
		OTHER REF	ERENCES (includi	na Au	ithor, Title, Date, P	ertinent Pages, et	c.)			
			•							
	30	Pranz et al., " Connection fo	Method and Appara or Secure Key Excha	atus fo ange,"	r Initiating Strong En Application Serial N	cryption Using Exist o. 10/037,491, filed	ing SSL I January 4, 20	002		
	31	Reeves et al., "Virtual Media from a Directory Service," Application Serial No. 10/038,239, filed January 4, 2002								
	3	S Reeves et al., Out Managem	"Method and Appa nent in a Directory E	aratus f	for Increasing the Full Environment," Appl	nctionality and Ease ication Serial No. 10	of Use of Ligh	 ts d		
		January 4, 20								
EXAM	INER				DATE CONSIDER	RED		~~		

Sheet 4 of 8

FC	DRM P	TO-1449			ATTY, DOCKET NO.	APPLICATION N	IO. CONFIRMA	TION NO
1.00	et of	DATENTS AND D	IDI ICATIONS FOR		200314542-1			
		ANT'S INFORMATI			APPLICANT	4 1		
		STATE	MENT		Michael F. Angelo	GROUP		
(Use several sheets if necessary)					Herewith			
REFERENCE DESIGNATION U.S. PATE (AMINER INITIAL DOCUMENT NUMBER DATE) 4A 6,118,589 09/12/2000 A 4B 6,116,509 09/12/2000 A 4C 6,085,299 07/04/2000 A 4D 6,061,794 05/09/2000 A 4E 6,057,965 05/02/2000 A 4F 6,032,257 02/29/2000 C 4G 6,026,016 02/15/2000 G 4H 6,009,524 12/28/1999 C 4I 6,003,144 12/14/1999 C 4J 5,974,438 10/26/1999 N					T DOCUMENTS			
XAMINER INITIAL	1 1 - 1				NAME		mns, Lines Where es or Figures Ap	
	4A 6,118,589 09/12/2000 Ar				gelo et al.			
	4B	6,116,509	09/12/2000	An	gelo et al.			
	4C	6,085,299	07/04/2000	An	gelo et al.			
	4D (6,061,794	05/09/2000	An	gelo et al.			
	4E (6,057,965	05/02/2000	An	gelo et al.			
	4F	6,032,257	02/29/2000	Ola	arig et al.			
	4G	6,026,016	02/15/2000	Ga	fken			
	4H	6,009,524	12/28/1999	Ola	arig et al.			
	41	6,003,144	12/14/1999	Ola	arig et al.			
	4J	5,974,438	10/26/1999	Nu	efeld			
	4K	5.974.250	10/26/1999	An	gelo et al.			
-	4L	DOCUMENT NUMBER	DATE		OR APPLICANT	Relevant Passages/	Figures Appear	Translatio attached
	4M							
	4N							
	40							
	4P		 					
	<u>.J.,</u>	OTHER REF	ERENCES (includi	ng Aı	uthor, Title, Date, F	Pertinent Pages, et	c.)	<u> </u>
	4C	Franz et al., " Application Se	Method and Appara erial No. 10/043,47	tus fo B, file	r Identifying the Writ d January 10, 2002	e Protect Status of	a Diskette,"	
	4R	Angelo et al., Identify Equip	"Method and Appa ment," Application	ratus : Serial	for Using a MAC Add No. 10/184,146, file	dress as Unique Mad d June 28, 2002	hine Parameter	s to
	Ì							
	48	Neufeld et al. Application So	, "Method and Appa erial No. 10/632,50	aratus 0; file	to Provide Secure Cod August 1, 2003	ommunications Betw	een Systems,"	

Sheet 5 of 8

						Territoria	T				
FC	ORM I	PTO-1449			ATTY. DOCKET NO. 200314542-1	APPLICATION NO	CONFIRMAT	FION NO			
LI:	ST O	F PATENTS AND P	UBLICATIONS FOR		APPLICANT	<u> </u>	L	—			
Al	PPLIC				Michael F. Angelo et al.						
	(1	Use several sheets	if necessary)		FILING DATE Herewith	GROUP					
REFERE	XAMINER INITIAL DOCUMENT NUMBER PUBLICATION DATE 5A 5,960,084 09/28/1999 A 5B 5,955,722 09/21/1999 K 5C 5,953,422 09/14/1999 A 5D 5,949,882 09/07/1999 A 5E 5,944,821 08/31/1999 A 5F 5,923,754 07/13/1999 A 5G 5,909,691 06/01/1999 S 5H 5,887,131 03/23/1999 A 5I 5,859,911 01/12/1999 A 5J 5,853,422 09/14/1999 A				DOCUMENTS						
EXAMINER INITIAL				T	NAME	Pages, Columr Relevant Passages	s, Lines Where or Figures App				
	5A	5,960,084	09/28/1999	Ang	gelo						
	5B	5,955,722	09/21/1999	Kur	z et al.						
	5C	5,953,422	09/14/1999	Ang	gelo et al.						
	5D	5,949,882	09/07/1999	Ang	gelo		.,,,,				
	5E	5,944,821	08/31/1999	Ang	gelo						
	5F	5,923,754	07/13/1999	Ang	gelo et al.						
	5G	5,909,691	06/01/1999	Sch	nultz et al.						
	5H	5,887,131	03/23/1999	Ang	gelo						
	51	5,859,911	01/12/1999	Ang	gelo et al.						
	5J	5,853,422	09/14/1999	Ang	gelo et al.						
	5K	5,850,559	12/15/1998	Ang	Angelo et al.						
				N	AME OF PATENTEE OR APPLICANT	Pages/Columns/Lin Relevant Passages/Fig		Check i Translation			
	5L							<u> </u>			
	5М							<u> </u>			
	5N							 			
	50							ļ			
	5P	<u> </u>					, <u>.</u>				
		OTHER REF	ERENCES (includi	ng Au	thor, Title, Date, P	ertinent Pages, etc.					
	50	2									
	51	R									
								•			
	5	s									
EXAM	INER				DATE CONSIDER	RED	· ·				

Sheet 6 of 8

APPLICANT AND PUBLICATIONS FOR APPLICANT APPLICA	TON NO	ATION NO. CONFIRMAT	APF	ATTY. DOCKET NO.		.	 PTO-1449	DRM I	FC
### APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) #### Michael F. Angelo et al. FILING DATE Herewith Michael F. Angelo et al. FILING DATE Herewith						ID 10 1 TIONS TOD			
REFERENCE DESIGNATION U.S. PATENT DOCUMENTS									
No. Name Pages Columns Pages		F		Michael F. Angelo FILING DATE	-	MENT	STATE		
DOCUMENT PUBLICATION DATE NAME Pages, Columns, Lines Whe Relevant Passages or Figures A				Herewith		f necessary)	Jse several sheets i	(۱	_
NAME Relevant Passages or Figures A S. 848,418 12/08/1998 de Souza et al.				DOCUMENTS	PATENT	U.S. P	DESIGNATION	NCE	REFERE
BB 5,844,986 12/01/1998 Davis				NAME					
6C 5,822,184 10/13/1998 Ravinovitz				Souza et al.	de S	12/08/1998	5,848,418	6A	
60 5,778,070 07/07/1998 Mattison 65 5,748,940 05/05/1998 Angelo et al. 66 5,748,888 05/05/1998 Angelo et al. 66 5,737,744 04/07/1998 Callison et al. 61 5,668,971 09/16/1997 Neufeld 61 5,592,648 01//07/1997 Schultz et al. 63 5,586,274 12/17/1996 Bryg et al. 64 5,522,065 05/28/1996 Neufeld FOREIGN PATENT DOCUMENTS DOCUMENT NUMBER PUBLICATION DATE Pages/Columns/Lines Where OR APPLICANT Relevant Passages/Figures Appear 61 6M 6N 60 60 6P 60 60 60 60 60 60 60 60				is	Dav	12/01/1998	5,844,986	6B	
6E 5,748,940 05/05/1998 Angelo et al.				novitz	Rav	10/13/1998	5,822,184	6C	
6F 5,748,888 05/05/1998 Angelo et al.				tison	Mat	07/07/1998	5,778,070	6D	
6G 5,737,744				elo et al.	Ang	05/05/1998	5,748,940	6E	
SH 5,668,971 09/16/1997 Neufeld				elo et al.	Ang	05/05/1998	5,748,888	6F	
SH 5,668,971 09/16/1997 Neufeld				son et al.	Call	04/07/1998		_	
61 5,592,648 01//07/1997 Schultz et al. 63 5,586,274 12/17/1996 Bryg et al. 64 5,522,065 05/28/1996 Neufeld				feld	Neu	09/16/1997			
6						01//07/1997			
FOREIGN PATENT DOCUMENTS DOCUMENT NUMBER PUBLICATION DATE NAME OF PATENTEE Relevant Passages/Figures Appear						12/17/1996			
FOREIGN PATENT DOCUMENTS DOCUMENT PUBLICATION NAME OF PATENTEE Pages/Columns/Lines Where Relevant Passages/Figures Appear	_	Neufeld							
OR APPLICANT Relevant Passages/Figures Appear 6L 6M 6N 6O 6P OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.) 6Q 6R	Check if	columns/Lines Where	T-			T	DOCUMENT	Ι	
6M 6N 6O 6P OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.) 6Q 6R	attached				'"		•		-
6N 6O 6P OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.) 6Q 6R	<u> </u>							6L	
OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.) 6Q 6R	<u> </u>				ļ			6M	
OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.) 6Q 6R	<u> </u>							6N	
OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.) 6Q 6R	<u> </u>							60	
6Q 6R	<u> </u>							6P	
6R		ges, etc.)	ertinent	hor, Title, Date, Pe	ding Au	ERENCES (includ	OTHER REF		
							2	60	
		_							
							R	66	
6S									
6S									
						· · · · · · · · · · · · · · · · · · ·	s	65	
EXAMINER DATE CONSIDERED			RED	DATE CONSIDER				NER	EXAM

Sheet 7 of 8

					ATTY. DOCKET NO.	APPLICATION NO. CONFIRMA					
F	ORM	PTO-1449			200314542-1	APPLICATION NO. CONFIRMA	HON NC				
		F PATENTS AND P			APPLICANT						
Α	PPLIC	ANT'S INFORMATI STATE			Michael F. Angelo et al.						
	(1	Use several sheets i	if necessary)		FILING DATE GROUP Herewith						
REFERE	NCE	DESIGNATION	U.S. PA	ATENI	ENT DOCUMENTS						
EXAMINER INITIAL	1	DOCUMENT NUMBER	PUBLICATION DATE		NAME	Pages, Columns, Lines Where Relevant Passages or Figures App					
	7A	5,490,342	02/13/1996	Rut	terman						
	7B	5,440,716	08/08/1995	Sch	ultz et al.						
	7C	5,408,644	04/18/1995	Sch	neider et al.						
	7D	5,363,273	11/08/1994	Ma							
	7E	5,333,305 07/26/1994		Neu	ıfeld						
		5,331,646	07/19/1994 F		eger et al.						
-	+	5,271,152	12/21/1993	Mu	rphy						
	 	5,249,279	09/28/1993		nmenk et al.						
	71	5,224,019	06/29/1993		ng et al.						
	7J	5,175,670	12/29/1992	Wa							
	+	5,159,533	10/27/1992		ang						
		DOCUMENT NUMBER	PUBLICATION DATE	N/	AME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation				
	7L										
_	7M	 					+				
	7N		<u> </u>				-				
	70						 				
	7P		1								
		OTHER REF	ERENCES (includi	ng Au	thor, Title, Date, P	ertinent Pages, etc.)					
	7	Q									
						•					
	7	R									
	7	s		<u></u>							
EXAM	L NER	L			DATE CONSIDER	RED					

Sheet 8 of 8

						Officer o	01 0		
F	ORM F	PTO-1449			ATTY. DOCKET NO.	APPLICATION NO	CONFIRMATIO	N NC	
	CT 01	DATENTO AND D	IDLICATIONS FOR		200314542-1 APPLICANT				
		ANT'S INFORMATI							
		STATE	EMENT		Michael F. Angelo	GROUP		-	
	(۱	Jse several sheets	if necessary)		Herewith				
REFERE	NCE	DESIGNATION	U.S. PA	ATEN	T DOCUMENTS				
EXAMINE INITIAL		DOCUMENT NUMBER	PUBLICATION DATE			Pages, Column Relevant Passages	ns, Lines Where or Figures Appear	-	
-	8A	5,101,492	03/31/1992	Sci	hultz et al.				
	8B				<u> </u>			•	
	8C							-	
	8D							-	
	8E				·-			-	
	8F			+				-	
	8G			+			 	-	
	8H				· · · · · · · · · · · · · · · · · · ·			-	
	81							-	
	8J			+				-	
-	8K							-	
	10.1							-	
			FOI	REIGN	PATENT DOCUM	ENTS		haali da	
		DOCUMENT NUMBER	PUBLICATION DATE	N	IAME OF PATENTEE OR APPLICANT	Pages/Columns/Lir Relevant Passages/Fig	nes Where	heck if anslatio ttached	
	8L								
	8M								
	8N								
	80								
	8P								
	•	OTHER REF	ERENCES (includi	ng Aı	uthor, Title, Date, F	Pertinent Pages, etc.)		
	80	2							
	 							-	
	8	`							
					 _	· · · · · · · · · · · · · · · · · · ·		_	
	88	s							
								_	
EXAM	INER				DATE CONSIDE	RED			
EXAM	L IINER				DATE CONSIDE	RED		_	